

A.D. 2.5, Performance Appraisals

Prepared for signature 1/29/02 - effective 2/8/02

1. Policy. The Department of Correction shall evaluate employees based on established performance standards utilizing the appropriate performance appraisal forms.
2. Authority and Reference.
  - A. Connecticut General Statutes, Sections 5-234, 5-237 and 18-81.
  - B. Regulations of Connecticut State Agencies, Section 5-237-1.
  - C. Collective Bargaining Agreements:
    1. Administrative and Residual (P-5) Bargaining Unit, July 1999, Article 10.
    2. American Federation of State, County and Municipal Workers (NP-3) Bargaining Unit, July 1999, Article 10.
    3. American Federation of State, County and Municipal Workers (NP-4) Bargaining Unit, July 1997, Article 50, Appendix A.
    4. Connecticut Employees Union Independent (NP-2) Bargaining Unit, July 1999, Article 9.
    5. Connecticut State Employees Association (P-3B) Bargaining Unit, July 1997, Article 12.
    6. New England Health Care Employees Union, District 1199 (NP-6) Bargaining Unit, July 2001, Article 38.
    7. New England Health Care Employees Union, District 1199 (P-1) Bargaining Unit, July 2001, Article 38.
    8. Connecticut State Employees Association (P-4) Bargaining Unit, Article 9, July 1997.
  - D. American Correctional Association, Standards for Administration of Correctional Agencies, Second Edition, April 1993, Standards 2-CO-1C-01 and 2-CO-1C-21.
  - E. American Correctional Association, Standards for Adult Probation and Parole Field Services, Second Edition, March 1981, Standards 2-3032 and 2-3058.
  - F. American Correctional Association, Standards for Adult Correctional Institutions, Third Edition, January 1990, Standard 3-4062.
  - G. American Correctional Association, Standards for Adult Local Detention Facilities, Third Edition, March 1991, Standards 3-ALDF-1C-01 and 3-ALDF-1C-16.
  - H. Administrative Directives 2.1, Equal Employment Opportunity and Affirmative Action and 2.4, Employee Separation and Reemployment.
3. Definitions. For the purposes stated herein, the following definitions apply:
  - A. Bargaining Unit Employee. An employee covered under a collective bargaining unit designated by the State Board of Labor Relations.
  - B. Performance Appraisal. The systematic review of the employee's job performance, based on objective performance standards, relative to the duties and responsibilities of the employee's position.
  - C. Performance Appraisal Rating System (PARS). (1) A pre-established list of performance traits, standard duty functions and specific,

previously identified, and agreed upon, duties of a supervisor assigned to the managerial pay plan; and/or (2) specific and agreed upon objectives established, for a managerial employee, which serves as a basis for evaluating the manager's accomplishments and performance relative to objectives.

- D. Working Test Period. A trial period deemed an extension of the examination process in which an employee's job performance and conduct are periodically evaluated to determine whether permanent appointment to the position is merited.
4. Appraisal Requirements. The job performance of each employee shall be evaluated periodically by a supervisor familiar with the employee's work. A bargaining unit employee's performance appraisal shall be conducted in accordance with the appropriate collective bargaining unit agreement. A managerial, supervisory or confidential employee shall be evaluated utilizing the appropriate forms and process. A performance appraisal shall be the basis of an employee's annual raise. An unsatisfactory rating may preclude an annual increase and two (2) consecutive unsatisfactory ratings shall be the basis for termination in accordance with Administrative Directive 2.6, Employee Discipline.
- Quarterly PARS reviews shall provide an opportunity for periodic assessment of performance, identification of any obstacles, determine appropriate corrective action and, if necessary, revise objectives. A copy of each approved appraisal shall be given to the employee and placed in the employee's personnel file. Comments, to include constructive suggestions for improvement, shall be consistent with the rating.
5. Performance Appraisal Frequency. Performance appraisals shall be completed and filed on the appropriate forms based on the schedule for each of the following:
- A. Each Correction Officer trainee shall receive monthly performance appraisals during the orientation training program.
  - B. Each initial or new promotional working test period employee shall receive a performance appraisal at approximately three (3) month intervals and at least one (1) month prior to the end of the working test period.
  - C. Each permanent employee shall be evaluated at least three (3) months prior to the employee's annual increase date.
  - D. Each PARS employee, shall receive quarterly progress reviews respectively.
  - E. A Unit Administrator may direct the completion of an unscheduled performance appraisal when the employee's performance shows a marked improvement or deterioration.
6. Performance Evaluation Factors. The job performance of each employee shall be evaluated on the basis of the employee's work as it relates to the duties and responsibilities of the position. Factors to be considered in the performance appraisal include the attainment of previously established goals and objectives, cooperation, knowledge of the job, productivity, quality of work, dependability, responsibility, communications, supervisory ability, and other factors as appropriate. The supervisor shall establish a complete and defensible record to substantiate ratings in each of the job factors. Factor ratings shall

- be based on objective criteria and careful observation of the employee's performance.
7. Written Records and Notes. Supervisors shall keep notes and maintain administrative records regarding job performance to document informal personnel actions and support subsequent formal performance appraisals.
  8. Supervisor/Employee Review. The supervisor and employee shall meet to discuss the appraisal, assess the employee's strengths and weaknesses in a constructive manner, and set goals and objectives for the next appraisal period. The appraisal presented to the employee shall have been reviewed and signed by the appropriate supervisors. The employee shall be given the opportunity to examine the written appraisal and may make written comments regarding its content. No comments shall be added to a performance appraisal after it has been signed by the employee unless the modified appraisal has been reviewed with and initialed by the employee prior to its placement in the employee's personnel file. An employee's signature and/or initials on the rating form shall serve as confirmation that the employee has seen the rating. Such acknowledgement does not indicate agreement with the rating. When an employee is rated less than good in any category, the rating supervisor shall state, in detail, the reasons for such appraisal and offer suggestions for improvement. When, in the judgment of the rating supervisor, the overall performance of a permanent employee has been unsatisfactory, the report shall be approved by the Unit Administrator, with notice to, and the review of, the appropriate Human Resources staff member prior to review and final signing by the employee, supervisor and Unit Administrator.
  9. Review by Unit Administrator. Each performance appraisal shall be reviewed and signed by the Unit Administrator or appointing authority prior to issuance to the employee.
  10. Job Performance Supervision. Nothing contained in this Directive shall be construed to prohibit or discourage supervisors from discussing an employee's job performance with the employee on an informal basis in private whenever the need to do so arises.
  11. Grievance and Arbitration. Disputes over "unsatisfactory", and in some instances "less than good" overall performance evaluations for bargaining unit employees, may be subject to the grievance and arbitration procedure. Any disagreement with an evaluation based on a presumption of discrimination may be grieved in accordance with Administrative Directive 2.1, Equal Employment Opportunity and Affirmative Action.
  12. Exceptions. Any exception to the procedures in this Administrative Directive shall require written approval from the Commissioner.